

TERMS OF REFERENCE¹

Terminal Evaluation of the UNEP/UNDP/GEF project “Global Solar Water Heating Market Transformation and Strengthening Initiative (GSWH project)”

I. PROJECT BACKGROUND AND OVERVIEW

1. Project General Information²

Table 1. Project summary³

Executing Agency:	The overall project is jointly implemented by UNEP and UNDP, UNDP being the lead GEF implementing agency and responsible for national execution in 6 countries. UNEP/DTIE is the co-executing agency with responsibility for global project management, monitoring and technical assistance for financial mechanisms component.		
Project partners:	International Copper Association (ICA) - United Nations Development Programme (UNDP)- Organización Latinoamericana de Energía (OLADE)- Regional Center for Renewable Energy and Energy Efficiency (RCREEE) - Observatoire Méditerranéen de l'Energie (OME) - European Solar Thermal Industry Federation (ESTIF) - University of the Virgin Islands (UVI) - UNEP DTU (Risoe)		
Geographical Scope:	Global		
Participating Countries:	Albania, Chile, India, Lebanon, Mexico (Algeria cancelled)		
GEF project ID:	2939	IMIS number:	GFL-5070-2721-4A54
UNDP PIMS ID:	3611		
UNEP PIMS:			
UNDP Project ID (ATLAS) :	Albania 00062847	Chile 00063281	India 00061121
	Lebanon 00062901	Mexico 00063034	
Focal Area(s):	Climate Change	GEF OP #:	1, 6
GEF Strategic Priority/Objective:	Promoting the Adoption of Renewable Energy by Removing Barriers and Reducing Implementation Costs	GEF approval date:	July 29, 2008
GEF grant:	12,285,000 USD		
UNEP specific details:			
UNEP approval date:	May 7, 2009	Date of First Disbursement:	May 13, 2009
Actual start date:	May 1, 2009	Planned duration:	68 months
Intended completion date:	December 1, 2013	Actual or Expected	December 31, 2015

¹ Based on the UNEP evaluation TOR template version of June 6 2015. Revised based on the specific requirements of this evaluation

³ UNEP GEF PIR Fiscal Year 15 (1 July 2014 to 30 June 2015), and other project related reporting

		completion date:	
Project Type:	FSP	GEF Allocation:	US\$ 3,750,000
Expected MSP/FSP Co-financing:	US\$ 1,970,000	Total Cost:	US\$ 5,720,000
Mid-term review/eval. (planned date)⁴:	May 2013	Terminal Evaluation (actual date):	April 2016
Mid-term review/eval. (actual date):	May 2014	No. of revisions:	5
Date of last Steering Committee meeting:	April 2014	Date of last Revision:	December 22, 2014
Disbursement as of 30 June 2015*:	US\$ 2,241,968.60	Date of financial closure:	N/A
Date of Completion:	N/A	Actual expenditures reported as of 30 June 2015:	US\$ 2,241,968.60
Total co-financing realized as of 30 June 2015:	US\$ 1,108,000	Actual expenditures entered in IMIS as of 30 June 2015:	US\$ 2,241,968.60

2. Project background⁵

1. Through the 1990s and beginning of 2000, the global solar thermal market underwent a favorable development with a steady annual growth. At the end of 2003, a total of 132 million square meters of collector area were installed in 35 countries studied in the IEA Market Review for 2003, which is expected to represent about 85-90% of the solar thermal market worldwide. By using the conversion factor of 0.7 kW/m², as agreed to by an International Energy Agency (IEA) expert meeting in 2004, the total installed capacity was estimated at 93 GW_{thermal}. The annual collector yield of all solar thermal systems in the countries studied was estimated at 55,233 GWh and the annual avoidance of GHG emissions 24.1 million tons of CO₂.

2. At the project design it was weighted that although strong market development has been evidenced in some GEF program countries, notably in China and Turkey, in many others with favorable climatic conditions, solar water heating (SWH) has not been utilized to its possible extent. The global, economically feasible potential for increased use of solar thermal applications for hot water preparation was assessed as huge and comparable to any other form of renewable energy GEF has supported during its operations. As demonstrated by the experiences in China, it is a technology that can provide cost-effective energy solutions also to the lower income part of the population and as demonstrated, for instance, in Cyprus, Israel and Greece, can become a mass product leading to permanent market shift at the national level for the benefit of both the end users and the environment. There can also be other considerations to stimulate solar water heating. In summary, SWH was seen as economic, commercially viable and available technology, which due to the different market barriers, however, has not reached the market penetration rate that it could reach on simply economic grounds.

3. At the time of the project design, there had been only 3 projects dealing specifically with solar water heating among the close to 100 medium and full size renewable energy projects approved for GEF funding since the beginning of the GEF operations. One of the reasons for this may had been the complexity of the market infrastructure for solar water heating. The technology in itself is not the complicating factor, but the decentralized applications, requiring a widely developed infrastructure of SME's is a critical success factor. Creation of a sustainable market infrastructure requires a consistent strategy and stable financial support mechanisms, which some countries are presently lacking.

4. The GEF's experience had shown that the barriers being removed generally relate to five market characteristics: *policy; finance; business skills; information; and technology*. As identified in the second Climate

⁴ This implies to the Evaluation of the Global Knowledge Management component under UNEP's management. All of the country components have gone through a Mid-Term Evaluations

⁵ ProDoc

Change Program Study (CCPS2, 2004) as well as in the programming framework for GEF-4, the removal of market barriers relating to these qualities “can form the basis for a market development strategy that is applicable to all of GEF’s Operational Programs as well as being replicable, sustainable, and cost-effective”. The project’s aim to address these five pillars of market barriers is described in the project goals and components section.

3. Project objectives and components

A. Overall approach at the project design

5. **The goal of the project is to accelerate global commercialization and sustainable market transformation of solar water heating, thereby reducing the current use of electricity and fossil fuels for hot water preparation.** It has been building on the encouraging market development rates already achieved in some GEF program countries and seek to further expand the market in other GEF program countries, where the potential and necessary prerequisites for market uptake seem to exist. The phase 1 of the project was planned to support i) the establishment of a global knowledge management component, and ii) a bundle of specific country programs for 6 countries: Albania, Algeria, Chile, India, Lebanon and Mexico implemented under UNDP ‘s National Execution Modality (NEX).

6. UNEP-DTIE role has been to integrate the activities globally and implement the global knowledge management component, including reaching out to additional countries where projects could be further initiated or markets influenced through information sharing in a second phase of the project. Work in the country programs is being articulated around five subcomponents to address the common major barriers to solar water heating development: policy and regulations; finance; business skills; information; and technology. UNEP DTIE is providing the overall monitoring and technical backstopping to countries.

7. At the project design for the phase 1 was developed under GEF-3 to support i) the establishment of a global knowledge management component; and ii) a bundle of specific country programs for 6 selected countries.

8. The second phase (Phase 2) was planned to consist of additional country programs scaling up the effort and bring the total over 16 countries (under GEF 4). The preparation and approval of these additional country proposals was planned to follow the normal GEF project cycle requiring for full size.

B. Component 1: The Global Knowledge Management and Networking

9. The Global Knowledge Management component has been executed by UNEP and a network of partners to facilitate co-coordinated, timely and professional technical backstopping for country specific SWH activities. The purpose was to analyze and disseminate information on the lessons learnt and “best practices”, facilitate cross-country information exchange and networking, and, finally to serve as a catalyst to stimulate and initiate sustainable SWH market transformation in different GEF programme countries globally.

10. The overall programme management has been also funded under Component 1 to explore and present the global market status and growth opportunities in an integrated way. It was planned at the project design stage that external agencies in the GEF regions will be engaged to form the knowledge management function and co-operation with the private sector would be sought with support from the International Copper Association (ICA). Table 3 specifies the outcomes and outputs at the project design stage. Component 2 and country programmes are discussed in the next sections of the TOR.

Table 2. Project outcomes and outputs as per the original project design.

Objective: <i>Acceleration of the global commercialization and market development of solar water heating in residential, private service sector and public buildings and, when applicable, industrial applications.</i>	
Outcome 1: <p>Effective initiation and co-ordination of the country specific support needs and improved access of national experts to state of the art information, technical backstopping, training and international experiences and lessons learnt.</p>	<p>Output 1.1 Global SWH market assessment and analysis with the specific focus on GEF programme countries</p> <p>Output 1.2 Finalisation and adoption of proposals for at least 10 additional countries for phase II</p> <p>Output 1.3 A network of international and regional agencies established</p> <p>Output 1.4 A virtual SWH information clearing house and training facility established with the specific focus on GEF programme countries</p> <p>Output 1.5 Other internationally or regionally applicable public awareness raising , training and knowledge management material published (which can be used as such or as raw materials for national public awareness raising and training activities and products)</p> <p>Output 1.6 A global review and analysis of the existing national and regional SWH standards, and draft design and a strategy for adopting more harmonized international product standards, labelling and quality control schemes.</p> <p>Output 1.7 A regularly updated, “quality controlled” roster and team of international SWH experts to support national level activities</p> <p>Output 1.8 Regional and international thematic or general SWH workshops</p> <p>Output 1.9 Regular newsletters and market monitoring reports.</p> <p>Output 1.10 The results, experiences and lessons learnt of the overall program compiled, analyzed and disseminated.</p>
Outcome 2 The basic conditions for the development of a SWH market in up to 6 participating countries on both the supply side and demand side established, conducive to the overall, global market transformation goals of the project. ⁶	<p>Output 2.1 The market development activities in the 6 initial countries successfully finalized meeting the stated targets.</p>

C. Component 2: Country Programmes

11. Component 2 (UNDP Country Programmes)⁷ focuses on overcoming the barriers and supporting the activities needed at the national level to stimulate sustainable SWH market development. It consists of several parallel country programs, which are/were managed locally under the UNDP execution modalities. At the project design stage the plan was to establish 6 country programmes in Albania, Algeria, Chile, India, Lebanon and Mexico, nonetheless Algeria country programme was cancelled in 2014. At the time of project design the plan was also to extend the project cover to addition 10 countries with further support from GEF. To the date this has not materialized.

12. The country specific components were tailored to tackle the five market characteristics discussed earlier (paragraph 4) considering the specific context and needs of each participating country. The following section describes the overall approach of the country programmes while the country specific adaptations to the approach are specified in the UNDP project documents.

13. Subcomponent 2.1: Creating an enabling legal, regulatory and institutional framework to support sustainable SWH market development (policy). The outputs and activities under this subcomponent aim to raise the awareness of

⁶ See table 3 for country specific outcomes and outputs at project design stage

⁷ Detailed country specific plans are available in UNDP project documents

the key national policy makers on the benefits of SWH and evaluate the feasibility of and stimulate and facilitate the policy dialogue in the participating countries on the possible policy measures to accelerate the SWH market growth. Among these measures are the development and adoption of building regulations favorable for SWH as well as different direct and in-direct financial and fiscal incentives. The GEF funds were planned to be used to support the evaluation and development of the financial and fiscal incentive policies, but actual implementation was expected to come from the participating countries. This subcomponent also includes the capacity building in implementation of voluntary and mandatory quality control, certification and labeling schemes. Supplying the market with good quality products and assuring positive experience with the promoted technology is seen essential proven to be essential for sustainable market growth.

14. Subcomponent 2.2: Creating a sustainable demand for SWH systems in the targeted end-user markets by public awareness raising, marketing support and capacity building. The outputs and activities under this subcomponent aim to raise awareness of the targeted end-users on the benefits, economic feasibility and other characteristics influencing a positive purchasing decision. At project design it was identified that the SWH industry in most countries consist of relatively small enterprises, which have difficulties to launch systematic and effective promotion campaigns themselves. As the project can be seen a market-neutral actor it can cost share marketing efforts of the private sector by promoting impartial trustworthy information to the targeted audience. The plan was also to rely on the already available or jointly produced materials that could be made available through the Global Knowledge Management Component (component 1). The project document highlights the importance of the ability to sell the advantages of SWH systems, especially in competition to alternative consumer goods, to prospective beneficiaries, and the mobilization of the banks to finance these systems.

15. Subcomponent 2.3: Enhancing the demand for SWH systems by the availability of attractive end-user financing mechanisms and new delivery models (financing). This subcomponent aims to raise awareness of the local financing and other key stakeholders, such as vendors, power utilities etc. on the SWH financing opportunities and to build their capacity to introduce new financing product or delivery models which are expected to promote demand on SWH systems.

16. Subcomponent 2.4: Enhanced capacity of the supply chain to respond to the growing demand with good quality products and services sustaining the market growth (business skills). The project document identifies the importance of the local supply chains in order to meet the increased demand with quality products and infrastructure of sufficient installers. The outputs and activities under this component aim to build the capacity of the manufacturers to improve their product quality and design as well as the business skill of the distribution chain to offer better quality and more attractive services to targeted end users. At project design it was envisaged that cooperation with foreign manufacturers would be promoted, as well as training and certification system established.

17. Subcomponent 2.5: The provided support institutionalized and the results, experiences and lessons learnt documented and disseminated (including monitoring, learning, evaluation and other feedback for adaptive management). Building on the outputs and lessons learnt from the previous subcomponents, the purpose of this component is to ensure that the required further support can be institutionalized and made available to support sustainable growth of the SWH market also after the project. The component includes facilitating compilation, ananalysis and dissemination of the project results and findings to serve replication and provide inputs to the global knowledge component. Table 3 specifies the general outcomes for country programmes, specific country level LogFrames are available in UNDP ProDocs.

Table 3. General project outcomes for country programmes. Country specific alignments and outputs are available in UNDP project document for each country programme.

Objective: To accelerate and sustain the solar water heating market in [project country] as a part of the Global SWH Market Transformation and Strengthening Initiative.
Outcome 1: An enabling institutional, legal and regulatory framework to promote sustainable SWH market
Outcome 2: Enhanced awareness and capacity of the targeted end users and building sector professional to consider and integrate SWH systems into different types of buildings.
Outcome 3: Increased demand for SWH systems by the availability of attractive end-user financing mechanisms or other delivery models, such as SESCOs or utility driven models.
Outcome 4: A certification and quality control scheme applicable for the country conditions and enhanced capacity of the supply chain to offer products and services promoting sustainable SWH market.
Outcome 5: The provided support institutionalized and the results, experiences and lesson learnt documented and disseminated (including monitoring, learning, evaluation and other feedback for adaptive management).

4. Executing Arrangements⁸

18. Institutional Framework. The project is overseen by a Project Management Committee (PMC) including the International Copper Association, UNDP and UNEP.

19. UNDP, as the lead GEF Implementing Agency, is responsible for overall project supervision to ensure consistency with GEF policies and procedures, and will provide guidance on linkages with related GEF-funded activities. The UNEP/DGEF monitors implementation of the activities undertaken across the UNDP executed country subprojects and the global knowledge management functions including aggregated progress reports for clearance through UNDP to GEF.

20. The UNEP Division of Technology, Industry and Economics is the co-executing agency with responsibility for global project management, monitoring and technical assistance components including financial instruments. This includes administration and supervision of MoUs with regional agencies.

21. Implementation arrangements. UNDP-GEF is the lead GEF agency reporting to GEF while UNEP-DTIE, overseen by UNEP-DGEF, will consolidate monitoring and knowledge across the 5 national projects and from the global knowledge management network. UNEP-DTIE provided technical design assistance and oversight on the mechanism in some of the partner countries.

22. The project management committee is composed of UNDP-GEF, UNEP-GEF and ICA. They are responsible for continuous updating of the work plan for the functions of this project. UNDP is ensuring that the country offices of UNDP coordinate their work.

23. Project management and supervision. UNDP and UNEP are jointly acting as the GEF Implementing Agencies (IAs) for this project, while execution responsibilities are component specific. The KM component of the project covered by this document (component 1) is executed by the Division of Technology, Industry, and Economics of the UNEP in Paris (UNEP DTIE). The UNEP-DTIE team is also responsible for the overall monitoring and progress reporting in respect to the set targets and indicators, including quarterly progress reporting to Project Management Committee and Project Implementation Reports (PIRs) to the GEF secretariat.

24. The country programmes (component 2) are managed at the national level following the standard UNDP guidelines for National Execution Modality, unless there has been a specific reason for agency or direct UNDP execution. Each country programme also established a Project Steering Committee comprising of the key partners at the national level.

⁸ As per the ProDoc

5. Project Cost and Financing

25. At the project design the overall GEF project grant for the project period was 12,285,000 USD comprising of the agency grants of 8,250,000 USD for UNDP (implementation of 6 country components); 3,750,000 USD for UNEP; and 285,000 USD as project preparation grant (PPG).

26. Additional funds we raised from multiple sources. Table 4 and 5 consist of summary budgets of component 1 and 2.

Table 4. Component 1 co-financing at project design.

Component	GEF	UNEP/DTIE	International Copper Association (ICA)	Other partners	Total
Global Outreach and Establishment of the KM Repository	430 000		590 000		1 020 000
Generation of Knowledge Products and Services	1 610 000	270 000	370 000	200 000	2 450 000
Knowledge Dissemination	1 410 000		140 000	200 000	1 750 000
Project Management	300 000	100 000	100 000		500 000
TOTAL	3 750 000	370 000	1 200 000	400 000	5 720 000

Table 5. Summary of the country programme funding at project design (including in-kind contributions)⁹

	Albania (USD)			Chile (USD)			India (USD)			Lebanon(USD)			Mexico (USD)			TOTAL
Outcome /funding source	GEF	UNDP	Other	GEF	UNDP	other	GEF	UNDP	Other	GEF	UNDP	Other	GEF	UNDP	Other	
Outcome 1	130,000	25,000	40,000	50,000		200,000	325,000		140,000	100,000		40,000	75,000		180,000	1,305,000
Outcome 2	190,000	25,000	285,000	200,000		210,000	481,000		150,000	200,000		20,000	175,000		350,000	2,286,000
Outcome 3	200,000	0	850,000	800,000		850,000	250,000		10,000,000	200,000		1,620,000	850,000		215,000	15,835,000
Outcome 4	170,000	0	396,000	165,000		300,000	458,000		550,000	160,000		280,500	350,000		540,000	3,369,500
Outcome 5	220,000	50,000	40,000	150,000		87,000	356,000		180,000	250,000	50,000	10,000	150,000		130,000	1,673,000
Project Management	90,000	50,000	14,000	135,000		184,500	130,000		80,000	90,000	50,000	90,000	150,000		270,000	1,333,500
SUB TOTAL	1,000,000	150,000	1,625,000	1,500,000	0	1,831,500	2,000,000	0	11,100,000	1,000,000	100,000	2,060,500	1,750,000	0	1,685,000	25,802,000
Country Programme TOTAL	2,775,000			3,331,500			13,100,000			3,160,500			3,435,000			25,802,000

⁹ Details of the planned cost-sharing available in UNDP project documents

6. Project Issues

27. Out of the 6 planned partner countries 5 preceded with the implementation of the country programmes (India, Lebanon, Chile, Mexico, Albania). The participation of Algeria was cancelled by national partners in 2014. The original plan was also to attract 10 additional countries (Phase 2) to join the initiative under GEF-4 but to the date this has not materialized.
28. The evaluation needs to take into account the different implementation periods of the country programmes. At the time of the ToR development, two of the country components (Lebanon and India) have been operationally closed for over a year while Albania country programme has been extended with government cost sharing (GEF allocation delivered). The Chile and Mexico country programmes are still ongoing.
29. The Mid-Term Evaluation (MTE) of the component 1 was conducted in 2013. The MTE found that there was a need for better coordination amongst UNEP, UNDP and other key stakeholders, and for a more clear-cut division of roles and responsibilities between UNDP and UNEP. It was also concluded that the project didn't provide sufficient platforms for stakeholder feedback on implementation or execution. The lack of SMART indicators, insufficient M&E system and need to agree on the common Theory of Change were also mentioned as issues to look into.
30. Likewise, all of the country components have gone through a decentralized MTE following the UNDP evaluation approach. In the case of the country programme of India the Terminal Evaluation was conducted already in 2013.
31. During the TOR development challenges such as UNEP-UNDP cooperation were discussed. Also several country specific implementation challenges were highlighted. The evaluation will take into account the diversity of the country specific implementation issues.

II. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

32. The Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP, and other partners. As this is a **UNEP evaluation** it is conducted in line with the UNEP Evaluation Policy¹⁰ and the UNEP Programme Manual¹¹.
33. In addition to the UNEP executed Global Knowledge Management component the evaluation will assess the country programmes (Albania, Chile, India, Lebanon, Mexico) managed by UNDP. Thus, UNDP specific guidance on evaluations¹² and programme policies (POPP)¹³ will be consulted if/when deemed necessary. The UNDP Evaluation Office will be consulted at different stages of evaluation to ensure alignment with the UNDP specific requirements. The GEF evaluation requirements are already integrated in the UNEP approach to evaluations.
34. This evaluation will also identify lessons of operational relevance for formulating and implementing on-going and future project. Particular attention will be paid to the cooperation of UNEP and UNDP.
35. Section 4 of the ToR provides a detailed guidance on the application of evaluation criteria in this evaluation. Nonetheless the following sets of **key questions** will be in the focus of the evaluation. This set of questions may be expanded by the consultants as deemed appropriate:

¹⁰ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

¹¹ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

¹² Handbook on planning, monitoring and evaluating for development results (UNDP)

<http://web.undp.org/evaluation/evaluations/handbook/english/documents/pme-handbook.pdf>

¹³ UNDP Programme and Operations Policies and Procedures <https://info.undp.org/global/popp/Pages/default.aspx>

- (a) To what extent the project outputs and outcomes have contributed in the acceleration and global commercialization and market development of solar water heating technology? Is there evidence for such development and how can it be attributed to the project activities?
- (b) To what extent the project activities have improved national experts' access to solar water heating related information, backstopping, training and international lessons? What has been the attribution of project products/outputs (component 1) in the SWH market development? What has been the use of component 1 products/outputs in the participating countries? And in other countries?
- (c) To what extent the project was successful in supporting the institutional, legal, and/or regulatory frameworks that promote sustainable SWH markets in the project countries (India, Lebanon, Chile, Mexico, and Albania)? What were the reasons behind the success or failure in these areas?
- (d) To what extent the project was successful in raising awareness and capacity of end users and other relevant stakeholders to integrate SWH in building sector in each programme country (India, Lebanon, Chile, Mexico, and Albania)? Is there evidence on raised awareness?
- (e) To what extent the project was successful in increasing demand of end-user for SWH systems in each programme country (India, Lebanon, Chile, Mexico, and Albania)? What were the main incentives for increased demand? What were the reasons behind the success or failure in these areas?
- (f) To what extent the certification and quality control schemes promoted the SWH market development in each participating country (India, Lebanon, Chile, Mexico, and Albania)?
- (g) Based on the project experiences, what are the key lessons concerning mechanisms and factors of technology transfer? To what extent these lessons can be replicated in other similar interventions of UNEP and UNDP?
- (h) How successful was the UNEP-UNDP cooperation? What was the added value of the implementation arrangement? Were there any shortcomings? How can the lessons concerning the UNEP-UNDP cooperation be taken into account in future initiatives?

2. Overall Approach and Methods

36. The Terminal Evaluation of the Project will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Task Manager and UNDP programme officers.

37. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. As the project consists of a global component and national programmes as well as receives significant support from regional offices/partners, special attention will be paid in ensuring sufficient participation from all of these different levels. It is highly recommended that the consultants maintain close communication with the project teams at all levels and promotes information exchange throughout the evaluation implementation phase in order to increase stakeholders' ownership of the evaluation findings.

38. The Terminal evaluation will assess each component and programme individually and draw overall conclusions. The Terminal Evaluation of Global Solar Water Heating Market Transformation and Strengthening initiative will consist of:

- sub-evaluation of the Global Knowledge management component
- sub-evaluation of the Country Programme of Albania under GSWH Initiative
- sub-evaluation of the Country Programme of Chile under GSWH Initiative

- sub-evaluation of the Country Programme of India under GSWH Initiative (with the adapted evaluation approach)¹⁴
- sub-evaluation of the Country Programme of Lebanon under GSWH Initiative
- sub-evaluation of the Country Programme of Mexico under GSWH Initiative
- overall project evaluation based on the synthesis of the above assessments

39. Both quantitative and qualitative evaluation methods will be used to determine project performance and achievements against the expected outputs, outcomes and impacts.

40. The findings of the evaluation will be based on the following:

(a) **A desk review of:**

- UNEP Medium-Term Strategy (MTS) 2010-2013 and 2014-2017
- UNDP Strategic Plans 2010-2013 and 2014-2017
- Country specific planning documents:
 - Country specific United Nations Development Assistance Frameworks (UNDAFs)
 - UNDP Country Programme Documents (CPDs) (and CPAPs if applicable)
 - Relevant National Development plans and strategies (will be specified by each participating UNDP country office)
 - Relevant UNDP programme alignment documents
- Relevant GEF programming documents
- Project design documents, including the UNDP project documents of each country programme, minutes of the project design review meetings/Project Appraisal Committee (PAC) meetings, revisions to the project (Project Document Supplements and project revisions), Annual Work Plans and Budgets or equivalent
- Relevant correspondences and agreements with partners at national and regional level
- Project reports such as Terminal Project Reports, Annual Project Reports (APR) and Project Implementation Reviews (PIRs); financial reports, audits (if applicable), Steering committee meeting minutes,
- Relevant guidelines, technical notes, policy documents and other publications produced by the project (will be specified by UNEP, UNDP and partners during the evaluation inception phase)
- Mid-Term Evaluation of the UNEP component (December 2013)
- Mid-term Evaluations of the country programme (Albania October 2012, Chile September 2012, India September 2012, Lebanon October 2011, Mexico February 2013)
- Terminal Evaluation of Country Programme of India under GSWH (June 2013)
- Any other relevant documentation.

(b) **Interviews (individual or in group) with:**

- UNEP Task Manager
- UNDP-GEF focal points
- UNEP-GEF focal points
- UNDP Programme Officers and other relevant staff at UNDP Country Offices
- UNDP regional advisors/focal points
- Project team at UNEP-DTIE
- UNEP Fund Management Officer;
- Project partners at global level: International Copper Association (ICA), Organización Latinoamericana de Energía (OLADE)- Regional Center for Renewable Energy and Energy Efficiency (RCREEE), Observatoire

¹⁴ The Terminal Evaluation of the Country Programme of India under GSWH initiative was conducted in 2013. In order to avoid duplication with the previous work this evaluation will utilize the terminal evaluation of India programme as far as possible. The UNEP evaluation criteria will be applied to review the India component and in case of gaps additional interviews/data collection means will be applied. The specific approach to cover these aspects will be defined in the inception phase by the evaluation team.

Méditerranéen de l'Energie (OME), European Solar Thermal Industry Federation (ESTIF), University of the Virgin Islands (UVI), UNEP DTU (Risoe)

- Project partners at national level (will be specified and confirmed by UNDP during the inception phase)
- Other relevant resource persons;

- (c) **Evaluation visits** to participating countries (Albania, Chile, Mexico, Lebanon), including observations at pilot sites if deemed useful
- (d) **Evaluation visits** to meet stakeholders (i.e. Paris and Brussels)
- (e) **Other data collection tools**

3. Key Evaluation principles

41. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

42. The evaluation will assess the project and all of its components and programmes with respect to a **minimum set of evaluation criteria** grouped in five categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, supervision and backstopping, and project monitoring and evaluation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

43. As the project comprises of the Global Knowledge Management component and 5 country programmes, each component and programme will be assessed against this suggested criteria. A summary of the findings will draw conclusions from all 6 components and assess the overall project performance. The focus of the evaluation will be to assess UNEP's and UNDP's contribution to the performance of the project components and the overall project.

44. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories. As the evaluation criteria will be applied to all of the project components, also the ratings will be provided accordingly. This will help the evaluation team to assess and summarize the overall performance of the project

45. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between what has happened with, and what would have happened without, the project. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

46. **The "Why?" Question.** As this is a terminal evaluation and follow-up projects have been already initiated particular attention should be given to learning from the experience. Therefore, the "Why?" question should be at the front of the consultants' minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of "what" the project performance was, and make a serious effort to provide a deeper understanding of "why" the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "why things happened" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "where things stand" at the time of evaluation.

47. A key aim of the evaluation is to encourage reflection and learning by UNEP and UNDP staff and key project stakeholders. The consultants should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

48. Communicating evaluation results. Once the consultants have obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

4. Evaluation criteria

A. Strategic relevance

49. The evaluation should assess the project's alignment / compliance with UNEP's and UNDP's policies and strategies. The evaluation should provide a brief narrative of the following aspects (where applicable):

- (a) *Alignment with the Bali Strategic Plan (BSP)*¹⁵. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (b) *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the intended results of the project contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the relevant Gender Policies
- (c) *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project have applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and have pursued the concept of free, prior and informed consent.
- (d) *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
- (e) *Safeguards*. Whether the project have adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP ESES and UNDP SES¹⁶ requirements complied with?

50. The evaluation will assess the overall project relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes of the Sub-Programmes [known as Expected Accomplishments (EAs)]. The evaluation will assess whether the project make a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013 and 2014-2017. The magnitude and extent of any contributions and the causal linkages should be fully described.

¹⁵ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

¹⁶ <http://www.undp.org/content/dam/undp/library/corporate/Social-and-Environmental-Policies-and-Procedures/UNDPs-Social-and-Environmental-Standards-ENGLISH.pdf>

51. The evaluation will assess the relevance of the GSWH country programmes in terms of UNDP strategic plan(s), UNDAFs, and other relevant strategic programming documents.
52. The evaluation will assess, in retrospect, whether the project objectives and implementation strategies as well as the project objectives were consistent with global, regional and national environmental issues and needs. The evaluation team needs to consider the context of each country programme and assess the relevance against relevant national and regional programmes/strategies and global agendas (i.e. MDGs).
53. In addition the evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with the GEF Climate Change focal area, strategic priorities and operational programme(s).

B. Achievement of Outputs

54. The evaluation will assess, for each component and country programme, the success in producing the programmed outputs (products and services delivered by the project itself) and milestones as per the UNEP and UNDP ProDocs and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness. It is recommended to use tables when presenting the findings in the evaluation report.
55. The evaluation will explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F, which covers the processes and factors affecting attainment of project results in more details.

C. Effectiveness: Attainment of Objectives and Planned Results

56. The evaluation will assess the extent to which the project's objectives and planned results were effectively achieved or are expected to be achieved.
57. The evaluation will utilize **Theory of Change (ToC)** approach to depict the impact pathways of each component and country programme. The TOC depicts the causal pathways from outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.
58. As the project consists of several components and country programmes with distinctive contexts, the evaluation team should consider whether each component and country programme requires its own ToC.
59. The ToCs will be developed based on a review of project documentation, logical frameworks, and stakeholder interviews. The evaluators will be expected to discuss the reconstructed TOC with the relevant stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).
60. The assessment of effectiveness will be structured in three sub-sections:
- (a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to immediate outcomes. Additional questions would be to what extent the project

- (b) It is recommended to apply Review of Outcomes to Impacts (ROtI) approach¹⁷ to assess of the **likelihood of impact**. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute to identified intermediate states and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (project documentation relating to Environmental, Social and Economic Safeguards)
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document¹⁸. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.
- (d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

D. Sustainability and replication

61. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes. The evaluation will also take into account both demand and supply side measures and their effect on the sustainability of the global market demand for solar water heating.

62. The project components and programmes are at the different stages of implementation, as some of are still on going and some have been operationally closed for a significant period of time. The evaluators need to consider how to address the sustainability criteria in each case.

63. It is suggested to assess the following four aspects of sustainability:

- (e) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Are there sufficient government and other key stakeholder ownership, awareness, interests, commitment and incentives to support market transformation in solar water heating? Did the project or its country programmes conduct 'succession planning' or developed an 'exit strategy'? To what extent the project and programme activities, such as capacity building, supported sustainability of the aspects of the overall project?

¹⁷ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

¹⁸ Or any subsequent **formally approved** revision of the project document or logical framework.

- (f) *Financial resources.* To what extent are the continuation of project and programme results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources¹⁹ will be or have become available to use capacities built by the GSWH initiative and its country programmes? Are there any financial risks that may jeopardize sustenance of project and programme results and onward progress towards impact?
- (g) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance especially in the country level (in Albania, Chile, India, Lebanon, and Mexico)? How robust are the institutional achievements such as governance structures and processes, policies, agreements, legal and accountability frameworks required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?
- (h) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project and country programme benefits, especially in the country level? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project and programme results are being up-scaled?

64. **Catalytic role and replication.** In UNEP evaluations the *catalytic role of interventions* is addressed in terms of UNEP's approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. In this evaluation the catalytic role of the UNEP and UNDP will be assessed in terms of support activities that enable up-scaling new approaches introduced by the project at the national, regional or global level. The evaluation will assess the catalytic role played by UNEP and UNDP managed components, namely to what extent these have:

- (a) *catalyzed behavioural changes* in terms of use and application of new SWH related technologies and knowledge, by the relevant stakeholders;
- (b) provided *incentives* (social, economic, market based, and competencies) to contribute to catalyzing changes in stakeholder behaviour;
- (c) contributed to *institutional changes* that would support uptake of project-demonstrated SWH technologies, practices, or management approaches, ;
- (d) contributed to *policy changes* that support SWH market transformation (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- (f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

65. *Replication* is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in additional geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the strategy and approach adopted by the project and its components to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the near future. The evaluation will look in what extent the SWH related technologies promoted by the project are or are expected to be applied in countries beyond the directly participating countries. The evaluation will also assess to what extent the SWH specific lessons on replication could transfer to other technologies.

66. The evaluation will pay attention to the factors influencing the replication and scaling of the project and country programme lessons in different country and regional contexts. Special attention will be paid to the role of the Global Knowledge Management component in terms of promotion of lessons and experiences in a wider scale.

¹⁹ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

E. Efficiency

67. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place by UNEP and UNDP in attempting to bring the project as far as possible in achieving its results within its budget and timeframe(s). It will also analyse how delays have affected project execution, costs and effectiveness. Attention will be paid to the different timeframes of different components and country programmes and assess whether this affected the project efficiency overall or in country level.

68. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

69. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects to increase project efficiency.

F. Factors and processes affecting project performance

70. Performance of each project component and country programme will be assessed in reflection to the following factors and processes.

71. **Preparation and readiness.** This criterion focuses on the quality of project design and preparation. Were project stakeholders²⁰ adequately identified and were they sufficiently involved in project development? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee/Project Appraisal Committee minutes at the time of project approval adequately addressed?

72. **Project implementation and management.** This includes an analysis of implementation approaches used by the project and its components and country programmes. This section assesses management frameworks, adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
- (c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by the UNEP Task Manager, UNDP programme officers, and project steering bodies including.
- (e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

²⁰ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

73. **Cooperation, partnerships and stakeholder participation.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation between UNEP and UNDP and draw lessons learned for future UNEP-UNDP-initiatives. Equally the evaluation will look at the cooperation and exchange between the different project components and country programmes during the project implementation as well as the cooperation with other UNEP and UNDP initiatives, and external stakeholders and partners.

74. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users of project products. The TOC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities.

75. The following aspects will be considered by the evaluators in terms of the overall project and its components and country programmes separately:

- (a) the approach(es) and mechanisms used to identify and engage stakeholders (outside UNEP and UNDP core teams) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (b) How was the overall collaboration between different functional units of UNEP and UNDP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration adequate?
- (c) Was the level of involvement of the regional offices in project design, planning, decision-making and implementation of activities appropriate?
- (d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.
- (f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks?
- (g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

76. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project components and country programmes to communicate the project's objective, progress, outcomes and lessons to relevant audiences. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

77. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of governments and public sector agencies in the project implementation, in particular in those countries that were participating in the execution of GSWH country programmes. The evaluation will assess to what extent have Governments assumed responsibility for the country programmes and provided adequate support to project execution. In addition the Global Knowledge Management component's and country programmes' actions to stimulate and encourage country ownership will be assessed.

78. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing at the level of project components and country programmes. The evaluation will assess each component and country programme in terms of following aspects:

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (c) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

79. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP and UNDP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

80. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP or UNDP has a major contribution to make.

81. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- (c) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

82. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of monitoring and evaluation plans and tools applied at different levels of the project. The evaluation will assess the overall project M&E system as well as the country programme specific arrangements. This includes an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project and country programme implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
 - Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time

frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?

- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?
- Did the project appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(b) *M&E Plan Implementation.* The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- PIR reports were prepared (the realism of the Task Manager's assessments will be reviewed)
- Half-yearly Progress & Financial Reports were complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.
- the country programme specific M&E requirements were fulfilled

G. The Consultants' Team

83. For this evaluation, the evaluation team will consist of a Team Leader and two Supporting Consultants. Details about the specific roles and responsibilities of the team members are presented in Annex 1 of these TORs. The Team Leader should have extensive evaluation experience, including of large, regional or global programmes and using a diversity of evaluation approaches; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making. The supporting consultants will have suitable educational background and adequate professional experience in the field of renewable energy; adequate monitoring and evaluation experience; and experience in managing partnerships, knowledge management and communication.

84. The Team Leader will coordinate the evaluation process and the preparation of the main evaluation report (see annex 2 for the suggested content), with substantive contributions by the supporting consultants. The evaluation team, with the lead of the Team Leader, will develop the evaluation approach, and a plan for data collection and

analysis. The consultants will ensure together that all evaluation criteria and questions are adequately covered. The actual data collection, analysis and report writing concerning the evaluation of different components is suggested to follow the below work division:

- Team Leader: Evaluation of the Component 1 (Global Knowledge Management Component) and Country Programme of India (based on a desk review), Main author of the summative evaluation of the overall project based on the component specific assessments and findings.
- Supporting Consultant 1: Evaluation of the Country Programmes of Mexico and Chile
- Supporting Consultant 2: Evaluation of the Country Programmes of Lebanon and Albania

85. By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

H. Evaluation Deliverables and Review Procedures

86. The evaluation team will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

87. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality of the project components and each country programme will cover the following aspects:

- Strategic relevance of the project and its components
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with relevant strategies and programmes;
- Sustainability considerations and measures planned to promote replication and up-scaling.

88. The overall project design and the Global Knowledge Management component (ProDoc) will be assessed following the UNEP project design assessment guidelines (see Annex 7 for the detailed project design assessment matrix).

89. The inception report will present a draft, desk-based **reconstructed Theory of Change** of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

90. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the Project document and discussion with the project team. See annex 2 for template.

91. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

92. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information eg. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons. A template for this has been provided in Annex?.
93. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.
94. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.
95. When data collection and analysis has almost been completed, the team leader will prepare a short **note on preliminary findings and recommendations concerning the Global Knowledge Management Component** for discussion with the project team and to feed into another ongoing UNEP subprogramme evaluation. The purpose of the note is to allow the evaluation team to receive guidance on the relevance and validity of the main findings emerging from the evaluation.
96. **The main evaluation report** should be written to the point in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. **Changes to this outline need to be discussed and agreed with the UNEP Evaluation Office.** The report must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.
97. **Review of the draft evaluation report.** The evaluation team will submit a zero draft report, covering the assessments of each component and country programmes, to the **UNEP Evaluation Office** and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the UNEP Task Manager/Project Manager and UNDP Programme Officers, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.
98. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The project team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.
99. **Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP and in UNDP. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.
100. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

101. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

102. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Task Manager at UNEP. After reception of the Recommendations Implementation Plan, the UNEP Task Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for UNEP's part will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan. Likewise the UNDP counterparts will address the recommendations concerning their respective areas/countries and prepare a management respond and an action plan as per UNDP accountability mechanism for evaluation follow-up. The UNDP management respond action plan will be tracked as per the UNDP requirements and progress recorded in the Evaluation Resource Centre (online-platform).

I. Logistical arrangements

103. This Terminal Evaluation will be undertaken by three independent evaluation consultants contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment.

104. The UNEP Task Manager and project teams in Paris and programme countries will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

J. Schedule of the evaluation

105. Table 7 below presents the tentative schedule for the evaluation.

Table 7. Tentative schedule for the evaluation

Milestone	Deadline
Inception Mission – Paris / Conference call ²¹	February 10, 2016
Initial desk review/Inception Report	February 28, 2016
Evaluation Mission – 1 week, Lebanon and Albania	March 11, 2016
Evaluation Mission – 5 days, Paris and Brussels	March 11, 2016
Evaluation Mission – 1 week, Chile and Mexico	March 11, 2016
Telephone interviews, surveys etc.	March 31, 2016
Preliminary findings	March 18, 2016
Zero draft report	April 15, 2016
Draft Report shared with UNEP Task Manager and UNDP Programme Officers	April 30, 2016
Revised Draft Report shared with other stakeholders	May 15, 2016
Final Report	May 29, 2016

²¹ Due to relocation of UNEP Paris office in January and February the inception mission to Paris might not be feasible

Annex 1. Consultant-specific Terms of Reference

Team Leader

The Team Leader will be hired for 2,5 months spread over the period of 01/01/2016 – 31/05/2016. S/he will be responsible for overall management of the evaluation, in close consultation with the UNEP Evaluation Office, and timely delivery of its outputs as described in the overall TORs of the evaluation. S/he will lead the evaluation design, data collection and analysis, and report-writing with full support and substantive inputs from the Supporting Consultants. More specifically:

Manage the inception phase of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project in consultation with the supporting consultants;
- prepare the evaluation framework covering the overall evaluation approach;
- develop the desk review and interview protocols; coordinate with the supporting consultant on the coverage of the methods concerning evaluation of each component and country programme.
- draft the survey protocols (where applicable);
- plan the evaluation schedule;
- distribute tasks and responsibilities among the evaluation team members; and
- prepare, together with the Supporting Consultant, the inception report, including comments received from the Evaluation Office and stakeholders.

Coordination of the data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with key stakeholders of the project;
- coordinate the work of the supporting consultant to ensure sufficient data collection and analysis of the country programmes;
- provide methodological support to the Supporting Consultant regarding information collection, data analysis, surveys etc.;
- regularly monitor progress of the Supporting Consultant in information gathering and analysis; and
- prepare a 2-page note concerning Global Knowledge Management component (UNEP).

Coordination of the reporting phase, including:

- Assign writing responsibilities concerning the component and country programme evaluations to the Supporting Consultant;
- write key section of the overall and compiling findings of the evaluation
- review/edit sections written by the Supporting Consultant, ensuring a complete and coherent report both in substance and style;
- liaise with the Evaluation Office on comments received and ensure that comments are taken into account during finalization of the main report; and
- prepare a Response to Comments annex for the main report in cooperation with the supporting consultant, listing those comments not accepted by the evaluation team and indicating the reason for their rejection.

Managing internal and external relations of the evaluation team, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- avoid and resolve any misunderstandings, tensions and performance issues within the team; and
- communicate in a timely manner with the Evaluation Office on any issues requiring its attention and intervention.

The Team Leader shall have had no prior involvement in the formulation or implementation of the Project and will be independent from the participating institutions. (S)He will sign the Evaluation Consultant Code of Conduct Agreement Form.

The Team Leader will be selected and recruited by the UNEP Evaluation Office through an individual consultancy contract.

Key selection criteria

- Advanced university degree in international development, environmental sciences or other relevant political or social science areas.
- Extensive evaluation experience, including of large, regional or global programmes and demonstrated ability to utilize a Theory of Change approach;
- Extensive team leadership experience;
- Broad experience in the field of renewable energy and understanding of the related market transformation mechanisms;
- Knowledge of the UN system, and UNEP if possible;
- Excellent writing skills in English;
- Attention to detail and respect for deadlines;
- Minimum 20 years of professional experience.

The fee of the Team Leader will be agreed on a deliverable basis and paid upon acceptance of expected key deliverables by the UNEP Evaluation Office.

Deliverables:

- Inception report
- Note with preliminary findings (2 pages) incorporating Evaluation Office and Evaluation as required
- Draft main report incorporating Evaluation Office comments as required
- Final main report incorporating comments received from evaluation stakeholders as appropriate, including a “response to comments” annex
- 2 page bulletin summarising project findings (see template in Annex 10.)

Schedule of Payment:

Deliverables	Percentage payment
[Signature of contract for lump sum contract only, remove for fee only]	[Travel expenses]
Inception report	20% of fees
Submission and approval of the draft evaluation report	40% of fees
Submission and approval of the final evaluation report	40% of fees

Supporting Consultants

The Supporting Consultants will be hired for 2 months spread over the period of 01/01/2016 – 31/05/2016. S/he will be responsible for delivering timely and high quality contributions to the evaluation process and outputs as described in the overall TORs of the evaluation under the leadership and supervision of the Team Leader. S/he will participate actively in evaluation design, document analysis, fieldwork and report-writing. The Supporting consultants will conduct data collection and analysis of the assigned country components relatively independently, maintaining close communication with the Team Leader. The Supporting Consultant will specifically provide:

Substantive contributions to the inception of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with Project staff with a focus on the assigned country programme;
- support the Team Leader in drafting the reconstructed Theory of Change of project and/or the programmes;
- assist in the preparation of the evaluation framework with a focus on the assigned country programme;
- conduct the desk review and prepare interview protocols in close cooperation with the evaluation team, with a focus on the assigned country programme;

- prepare the survey protocols concerning on the assigned country programme in close cooperation with the evaluation team;
- contribute to sections of the inception report as agreed with the Team Leader; and
- any other tasks during the inception phase as requested by the Team Leader.

Substantive contributions to data collection and analysis, including:

- conduct further desk review and in-depth interviews with key stakeholders of the project, with a focus on the assigned country programme; and
- any other tasks related to data collection and analysis as requested by the Team Leader.

Substantive contributions to the main report, including:

- write key sections of the main report concerning the assigned country programme, and as agreed with the Team Leader;
- review/edit sections written by the Team Leader;
- reviewing comments received from the UNEP Evaluation Office and other stakeholders and supporting Team Leader in preparing responds to those;
- assist the Team Leader with finalizing the main report with the focus on the section of the assigned country programmes; and
- any other tasks related to reporting as requested by the Team Leader.

Ensure good team work and external relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- be a team player, avoid and help resolve any misunderstandings, tensions and performance issues within the team; and
- communicate in a timely manner with the Team Leader and/or the Evaluation Office on any issues requiring their attention and/or intervention.

The Supporting Consultant shall have had no prior involvement in the formulation or implementation of the Project and will be independent from the collaborating institutions and other partners of the project. S/he will sign the Evaluation Consultant Code of Conduct Agreement Form.

The Supporting Consultant will be selected by the Evaluation Office in consultation with the Team Leader, and hired through an individual consultancy contract.

Key selection criteria

- Advanced university degree in international development, environmental sciences, political or social sciences, or other relevant disciplines;
- Experience in the field of renewable energy and understanding of the related market transformation mechanisms
- Excellent research skills, including desk review and interview skills;
- Adequate evaluation experience, with good understanding of the Theory of Change approach;
- Experience in managing partnerships, knowledge management and communication;
- Basic knowledge of the UN system, UNEP in particular;
- Minimum 10 years of professional experience;
- Excellent writing skills in English.

The fee of the Supporting Consultants will be agreed on a deliverable basis and paid upon acceptance of key evaluation deliverables by the UNEP Evaluation Office.

The Team Leader will assign data collection, analysis and writing responsibilities within the team. The Team Leader will also advise the Evaluation Office whether the Supporting Consultant has contributed a fair share to the evaluation process and deliverables, and will take part in her/his performance assessment.

Deliverables:

- Inception report (written contributions and review comments)
- Draft main report incorporating Evaluation Office and stakeholder comments as required (written contributions and review comments)
- Final main report incorporating comments received from evaluation stakeholders as appropriate, including a “response to comments” annex (written contributions)

Schedule of Payment:

Deliverables	Percentage payment
Inception report	20%
Submission and approval of the draft evaluation report	40%
Submission and approval of the final evaluation report	40%

Contractual arrangements

106. Both consultants will be hired under an individual Special Service Agreement (SSA) following the ‘Fee only’ contract and payment agreement. **Fee only:** The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication and others costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

107. By undersigning the Special Services Agreement with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within the six months following completion of the contract) with the project’s executing or implementing units.

108. The consultants may be provided with access to UNEP’s Programme Information Management System (PIMS) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

109. In case the consultants are not able to provide the deliverables in accordance with these TORs, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP’s quality standards.

110. If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants’ fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 2. Annotated Table of Contents of the main evaluation deliverables

INCEPTION REPORT²²

Section	Notes	Data Sources	Max. number of pages
1. Introduction	Brief introduction to the project and evaluation.		2
2. Project background	Summarise the project and country contexts and rationale. How has the context of the project changed since project design?	Background information on context	4
Stakeholder analysis	See notes in annex 9	Project documents Project preparation phase. TM/PM	2
3. Review of project design	Summary of project design strengths and weaknesses of each component (based on ProDocs) Complete the Template for assessment of the quality of project design concerning UNEP executed component (Annex 5 of the Terms of Reference).	Project document and revisions, PAC and PRC comments, MTE/MTR if any.	4 + completed matrix provided in annex of the inception report
4. Reconstructed Theory of Change	The Theory of Change should be reconstructed, based on project documentation. It should be presented with diagrams and explained with a narrative.	Project document narrative, logical framework and budget tables. Other project related documents.	2 pages of narrative + diagram(s) for each component/country programme
5. Evaluation framework	The evaluation framework will contain: <ul style="list-style-type: none"> Detailed evaluation questions (including new questions raised by review of project design and ToC analysis) and indicators Data Sources It will be presented as a matrix, showing questions, indicators and data sources.	Review of all project documents.	5
Learning, Communication and outreach	Description of the approach and methods that the consultant will use to promote reflection and learning through the evaluation process.	Review of project documents, stakeholder analysis, discussions with the Evaluation Manager, Task Manager and Project Coordinator	1
6. Evaluation schedule	- Revised timeline for the overall	Discussion with	2

²² Can be modified as deemed necessary and agreed with the UNEP Evaluation Office

	evaluation (dates of travel and key evaluation milestones) - Tentative programme for the country visits	project team on logistics.	
7. Distribution of responsibilities among within the evaluation team	Distribution of roles and responsibilities among evaluation consultants (may be expanded in Annex)		1
6. Annexes	A- Completed matrix of the overall quality of project design B- List of individuals and documents consulted for the inception report C- List of documents and individuals to be consulted during the main evaluation phase		

MAIN REPORT²³

Project Identification Table	A modified version of the Table 1 (page 1) of these TOR, covering the key details concerning UNEP and UNDP components
Executive summary (max 4 pages)	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table as depicted in synthesis chapter), as well as the most important lessons and recommendations.
I. Introduction (max 5 pages)	A very brief introduction to overall project, mentioning the name of evaluation, project duration ,implementation arrangements, and geographical reach
	Objectives, approach, methodologies and limitations of the evaluation

²³ The final structure of the evaluation report can be discussed and modified during the evaluation process. Nevertheless all the modifications to or exceptions from this outline should be discussed and agreed with UNEP evaluation office prior application.

<p>III. Evaluation of the project components (each section max 23 pages)</p> <p>A.Global Knowledge Management component B.Country Programme of Albania C.Country Programme of Chile D.Country Programme of India E.Country Programme of Lebanon F.Country Programme of Mexico</p>	<p>Each section (from A to F) should provide a concise and evidence-based descriptions of the following aspects:</p> <p>1. Description of the component, context (country or other), explaining specific objectives and expected results, target areas/groups, Implementation arrangements, component specific financing, partners, changes in design during implementation, reconstructed Theory of Change of the component. (max 4 pages + tables and figures)</p> <p>2. Evaluation findings as per the criteria as described in the TOR including a) strategic relevance, b) achievement of outputs, c) effectiveness (attainment of direct outcomes, likely hood of impact), d) Sustainability and replication, e) Efficiency, f) Factors affecting performance concerning each component.</p> <p>Ratings are provided at the end of the assessment of each evaluation criterion for each component. (max 14 pages)</p> <p>3. Conclusions section should summarize the main conclusions of the project component evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. Conclusions should be cross-referenced to the main text of the report (using the paragraph numbering). The overall rating table could be inserted here (see Annex 3). (max 1 page)</p> <p>4. Recommendations should be anchored in the conclusions of the report, with proper cross-referencing. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyse the pros and cons of each option. Recommendations should also identify actions which can be taken within the available time and resources (max 2 pages)</p> <p>5. Lessons learned should be anchored in the conclusions of the evaluation. In fact, no lessons should appear which are not based upon an explicit finding of the evaluation. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. (max 2 pages)</p>
<p>IV Summary/Synthesis of evaluation findings (Maximum 10 pages)</p>	<p>This section will synthesize the evaluation findings based on evaluation/analysis of each component and country programme (Global Knowledge Management Component and 5 country programmes in Albania, Chile, India, Lebanon and Mexico) as per above section and draw over all conclusions and lessons.</p> <p>This section will be structured around the evaluation criteria presented in section II.4 of the TORs.</p> <p>The overall project rating will be provided in this chapter based on the ratings of each project component (section III A – F)</p>
<p>Annexes</p>	<p>These may include additional material deemed relevant by the evaluator</p>

	<p>but must include:</p> <ol style="list-style-type: none"> 1. Response to stakeholder comments received but not (fully) accepted by the evaluators 2. Evaluation TORs (without annexes) 3. Evaluation program, containing the names of locations visited and the names (or functions) and <u>contacts (Email)</u> of people met 4. Bibliography 5. Summary co-finance information and a statement of project expenditure by activity (See annex 4 of these TORs) 6. Evaluation findings and lessons. A short and simple presentation of evaluation findings and lessons ensures that information is easily accessible to a wide range of audiences. (modified from the 2-page template provided in Annex) 7. Any other communication and outreach tools used to disseminate results (e.g. power point presentations, charts, graphs, videos, case studies, etc.) 6. Brief CVs of the consultants
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Important note on report formatting and layout

Reports should be submitted in Microsoft Word .doc or .docx format. Use of Styles (Headings etc.), page numbering and numbered paragraphs is compulsory from the very first draft report submitted. Consultants should make sure to gather media evidence, especially photographs, during the assignment and insert a sample in the final report in the appropriate sections. All media collected during the assignment shall become property of the UNEP Evaluation Office; which shall ensure that the authors are recognised as copyright owners. The consultant(s) grants permission to the UNEP Evaluation Office to reproduce the photographs in any size or quantity for use in official publications. The consultant(s) shall seek permission before taking any photographs in which persons are recognisable and to inform them that the photographs may be used in UNEP official publications.

Examples of UNEP Terminal Evaluation Reports are available at www.unep.org/eou.

Annex 3. Evaluation Ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.4 of these TORs.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions sections of the report, ratings will be presented together in a table. Narrative summary of the rating will be presented where most suitable.

Criterion	Summary Assessment	Rating
A. Strategic relevance		HS → HU
B. Achievement of outputs		HS → HU
C. Effectiveness: Attainment of project objectives and results		HS → HU
1. Achievement of direct outcomes		HS → HU
2. Likelihood of impact		HS → HU
3. Achievement of project goal and planned objectives		HS → HU
D. Sustainability and replication		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
5. Catalytic role and replication		HS → HU
E. Efficiency		HS → HU
F. Factors affecting project performance		
1. Preparation and readiness		HS → HU
2. Project implementation and management		HS → HU
3. Stakeholders participation and public awareness		HS → HU
4. Country ownership and driven-ness		HS → HU
5. Financial planning and management		HS → HU
6. UNEP supervision and backstopping		HS → HU
7. Monitoring and evaluation		HS → HU
a. M&E Design		HS → HU
b. Budgeting and funding for M&E activities		HS → HU
c. M&E pPlan Implementation		HS → HU
Overall project rating		HS → HU

Rating for effectiveness: Attainment of project objectives and results. An aggregated rating will be provided for the achievement of direct outcomes as determined in the reconstructed Theory of Change of the project, the likelihood of impact and the achievement of the formal project goal and objectives. This aggregated rating is not a simple average of the separate ratings given to the evaluation sub-criteria, but an overall judgement of project effectiveness by the consultants.

Ratings on sustainability. All the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will be the lowest rating on the separate dimensions.

Ratings on Financial planning and management: An aggregated rating will be provided based on an average of the various component ratings listed in the table below. Please include this table as an annex in the main report:

GEF projects

Financial management components			Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations			HS:HU	
Contact/communication between the PM & FMO			HS:HU	
PM & FMO knowledge of the project financials			HS:HU	
FMO responsiveness to financial requests			HS:HU	
PM & FMO responsiveness to addressing and resolving financial issues			HS:HU	
Were the following documents provided to the evaluator:				
A.	An up to date co-financing table	Y/N		
B.	A summary report on the projects financial management and expenditures during the life of the project - to date	Y/N		
C.	A summary of financial revisions made to the project and their purpose	Y/N		
D.	Copies of any completed audits	Y/N		
Availability of project financial reports and audits			HS:HU	
Timeliness of project financial reports and audits			HS:HU	
Quality of project financial reports and audits			HS:HU	
FMO knowledge of partner financial requirements and procedures			HS:HU	
Overall rating				

Ratings of monitoring and evaluation. The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design). M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

Overall project rating. The overall project rating should consider parameters 'A-E' as being the most important with 'C' and 'D' in particular being very important.

Annex 4. Project costs and co-financing tables

Project Costs

Component/sub-component/output	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

Co-financing

Co financing (Type/Source)	UNEP own Financing (US\$1,000)		Government (US\$1,000)		Other* (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	

- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
Totals									

* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Annex 5. Quality Assessment of the Evaluation Report

Evaluation Title:

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All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: Final report:		
B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Final report:		
C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	Draft report: Final report:		
D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Final report:		
E. Presentation of Theory of Change: Is the Theory of Change of the	Draft report:		

	intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Final report:		
F.	Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Final report:		
G.	Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Final report:		
H.	Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: Final report:		
I.	Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Final report:		
J.	Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Final report:		
K.	Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Final report:		
L.	Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:		
Report structure quality criteria				
M.	Structure and clarity of the report: Does the report structure follow EO	Draft report:		

guidelines? Are all requested Annexes included?	Final report:		
N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Final report:		
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Final report:		
P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report:		
OVERALL REPORT QUALITY RATING			

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?			
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?			
S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?			
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?			
U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for			

comments? Did EO complete an assessment of the quality of the final report?			
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?			
W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?			
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?			
OVERALL PROCESS RATING			

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

Annex 6. Documentation list for the evaluation to be provided by the UNEP Task Manager and UNDP Programme Officers

- UNEP Medium-Term Strategy (MTS) 2010-2013 and 2014-2017
- UNDP Strategic Plans 2010-2013 and 2014-2017
- Country specific planning documents:
 - Country specific United Nations Development Assistance Frameworks (UNDAFs)
 - UNDP Country Programme Documents (CPDs) (and CPAPs if applicable)
 - Relevant National Development plans and strategies (will be specified by each participating UNDP country office)
 - Relevant UNDP programme alignment documents
- Relevant GEF programming documents
- Project design documents, including the UNDP project documents of each country programme, minutes of the project design review meetings/Project Appraisal Committee (PAC) meetings, revisions to the project (Project Document Supplements and project revisions), Annual Work Plans and Budgets or equivalent
- Relevant correspondences and agreements with partners at national and regional level
- Project reports such as Terminal Project Reports, Annual Project Reports (APR) and Project Implementation Reviews (PIRs); financial reports, audits (if applicable), Steering committee meeting minutes,
- Relevant guidelines, technical notes, policy documents and other publications produced by the project (will be specified by UNEP, UNDP and partners during the evaluation inception phase)
- Mid-Term Evaluation of the UNEP component (December 2013)
- Mid-term Evaluations of the country programme (Albania October 2012, Chile September 2012, India September 2012, Lebanon October 2011, Mexico February 2013)
- Terminal Evaluation of Country Programme of India under GSWH (June 2013)
- Any other relevant documentation.

Annex 7. Template for the assessment of the quality of the UNEP project design

General guideline:

The original project document, the Theory of Change (TOC) at project design, and the reconstructed TOC are key sources of information for completing this assessment.

1. Project Document

	Project preparation and readiness		Addressed by PRC	Evaluation Comments	Rating
1	Does the project document provide a description of stakeholder consultation during project design process?				
2	Does the project document include a clear stakeholder analysis? Are stakeholder needs and priorities clearly understood and integrated in project design? (see annex 9)				
3	Does the project document entail a clear situation analysis?				
4	Does the project document entail a clear problem analysis?				
5	Does the project document entail a clear gender analysis?				
	Relevance		Addressed by PRC	Evaluation Comments	Rating
6	Is the project document clear in terms of relevance to:	i) Global, Regional, Sub-regional and National environmental issues and needs?			
7		ii) UNEP mandate			
8		iii) the relevant GEF focal areas, strategic priorities and operational programme(s)			

)? (if appropriate)			
9		iv) Stakeholder priorities and needs?			
10	Is the project document clear in terms of relevance to cross-cutting issues	i) Gender equity			
11		ii) South-South Cooperation			
12		iii) Bali Strategic Plan			
	Intended Results and Causality		Addressed by PRC		
13	Are the outcomes realistic?				
14	Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?				
15	Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?				
16	Are activities appropriate to produce outputs?				
17	Are activities appropriate to drive change along the intended causal pathway(s)?				
18	Are impact drivers and assumptions clearly described for each key causal pathway?				
19	Are the roles of key actors and stakeholders clearly described for each key causal pathway?				
20	Is the ToC-D terminology (<i>result levels, drivers, assumptions etc.</i>) consistent with UNEP definitions (<i>Programme Manual</i>)				
	Efficiency		Addressed by PRC		
21	Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?				

	Sustainability / Replication and Catalytic effects	Addressed by PRC		
22	Does the project design present a strategy / approach to sustaining outcomes / benefits?			
23	Does the design identify social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?			
24	Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
25	If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?			
26	Are financial risks adequately identified and does the project describe a clear strategy on how to mitigate the risks (in terms of project's sustainability)			
27	Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?			
28	Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?			
29	Does the project design foresee adequate measures to promote replication and up-scaling / does the project have a clear strategy to promote replication and up-scaling?			
30	Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?			
	Learning, Communication and outreach	Addressed by PRC		
	Has the project identified appropriate methods for communication with key stakeholders during the project life?			

	Are plans in place for dissemination of results and lesson sharing.			
	Do learning, communication and outreach plans build on analysis of existing communication channels and networks used by key stakeholders ?			
	Risk identification and Social Safeguards	Addressed by PRC		
31	Are all assumptions identified in the ToC presented as risks in the risk management table? Are risks appropriately identified in both, ToC and the risk table?			
32	Is the risk management strategy appropriate?			
33	Are potentially negative environmental, economic and social impacts of projects identified?			
34	Does the project have adequate mechanisms to reduce its negative environmental foot-print?			
	Have risks and assumptions been discussed with key stakeholders?			
	Governance and Supervision Arrangements	Addressed by PRC		
35	Is the project governance model comprehensive, clear and appropriate? (<i>Steering Committee, partner consultations etc.)</i>			
36	Are supervision / oversight arrangements clear and appropriate?			
	Management, Execution and Partnership Arrangements	Addressed by PRC		
37	Have the capacities of partners been adequately assessed?			
38	Are the execution arrangements clear and are roles and responsibilities within UNEP clearly defined?			
39	Are the roles and responsibilities of external partners properly specified?			
	Financial Planning / budgeting	Addressed by PRC		
40	Are there any obvious deficiencies in the budgets / financial planning? (<i>coherence of the budget, do figures add up etc.</i>)			
	Has budget been reviewed and agreed to be realistic with key project stakeholders?			
41	Is the resource utilization cost effective?			
42	How realistic is the resource mobilization strategy?			

43	Are the financial and administrative arrangements including flows of funds clearly described?				
	Monitoring		Addressed by PRC		
44	Does the logical framework	<ul style="list-style-type: none"> capture the key elements of the Theory of Change for the project? 	-		
		<ul style="list-style-type: none"> have 'SMART' indicators for outcomes and objectives? 	-		
		<ul style="list-style-type: none"> have appropriate 'means of verification'? 	-		
45	Are the milestones appropriate and sufficient to track progress and foster management towards outputs and outcomes?				
46	Is there baseline information in relation to key performance indicators?				
47	How well has the method for the baseline data collection been explained?				
48	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?				
49	How well are the performance targets justified for outputs and outcomes?				
50	Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?				
51	Does the project have a clear knowledge management approach?				
	Have mechanisms for involving key project stakeholder groups in monitoring activities been clearly articulated?				
	Evaluation		Addressed by PRC		
52	Is there an adequate plan for evaluation?				
53	Has the time frame for evaluation activities been specified?				
54	Is there an explicit budget provision for mid-term review and terminal evaluation?				
55	Is the budget sufficient?				

2. Project alignment with the SP PoW

		Addressed by PRC	Evaluation Comments	Rating
1	Does the project form a coherent part of the programme framework?			
2	Is the relevance of the project in terms of SP higher level results clearly described?			
3	How well have linkages with other projects in the same Programme Framework been described?			
4	Where linkages with other SPs are mentioned, are they well articulated?			
5	If the project is a pilot, is it clear why the pilot is relevant to higher level SP results?			
6	Are the designed activities relevant in terms of contributing / producing the identified PoW Output(s)? <i>(Based on project design only)</i>			
7	Are output indicators appropriate to measure contribution to / delivery of the PoW Output(s)?			
8	What is the likelihood that the project's contribution towards PoW output(s) will be achieved within the duration of the PoW? <i>(consider also funding, timing, staffing etc.)</i>			
9	Are the intended results likely to contribute to the stated EA? <i>(Based on design only)</i>			
10	Is the pathway from project outputs to EA contribution clearly described?			
11	Are the indicators appropriate to measure contribution to EA?			
12	What is the likelihood that the project's contribution towards the EA will be achieved within the duration of the PoW? <i>(Consider also funding, timing, staffing etc.)</i>			

13	Do project milestones track progress to PoW output and all the way to the EA?			
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3. Project approval process (specific to the UNDP project under review)

		Evaluation Comments
1	What were the main issues raised by PRC that were addressed?	
2	What were the main issues raised by PRC that were not addressed?	
3	Were there any major issues not flagged by PRC?	

Annex 8. Introduction to Theory of Change / Impact pathways, the ROTI Method and the ROTI Results Score sheet (old version – A new version is under development)

Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results through rigorous review of project progress along the pathways from outcome to impact. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (ToC) / impact pathways

Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

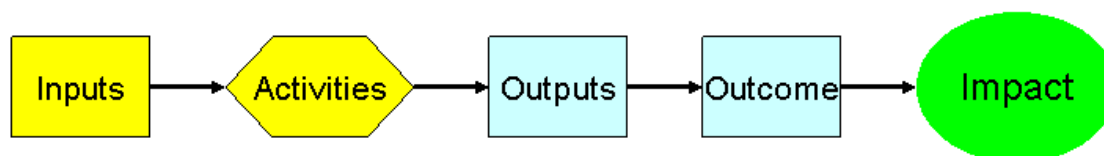


Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.

The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

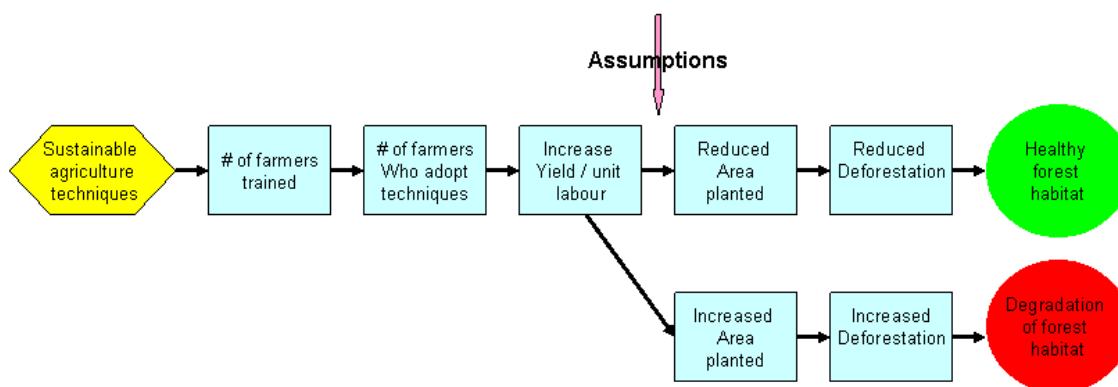


Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.

The GEF Evaluation Office has recently developed an approach to assess the **likelihood of impact** that builds on the concepts of Theory of Change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)²⁴ and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways: reconstruction of the project's Theory of Change

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The second stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method²⁵. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such processes are often complex: they might involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrues long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**drivers**' that underpin the processes involved in the transformation of outputs to outcomes to impacts via **intermediate states** (see Figure 3). **Project outcomes** are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's direct outcomes and the intended impact. They are necessary changes expected to occur as a result of the project outcomes, that are expected, in turn, to result into impact. There may be more than one intermediate state between the immediate project outcome and the eventual impact. When mapping outcomes and intermediate states its important to include reference to the stakeholders who will action or be effected by the change.

Drivers are defined as the significant, external factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant external factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The drivers and assumptions are considered when assessing the likelihood of impact, sustainability and replication potential of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key drivers and assumptions been identified for each 'step' in the impact pathway.

²⁴ GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook.

https://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf

²⁵Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

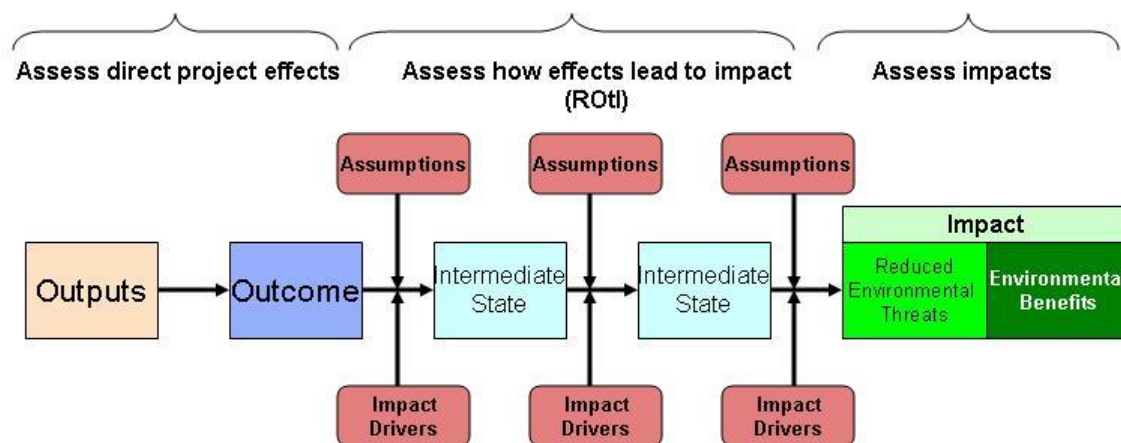


Figure 3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers²⁶ (adapted from GEF EO 2009)

In ideal circumstances, the Theory of Change of the project is reconstructed by means of a group exercise, involving key project stakeholders. The evaluators then facilitate a collective discussion to develop a visual model of the impact pathways using cards and arrows taped on a wall. The component elements (outputs, outcomes, intermediate states, drivers, assumptions, intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

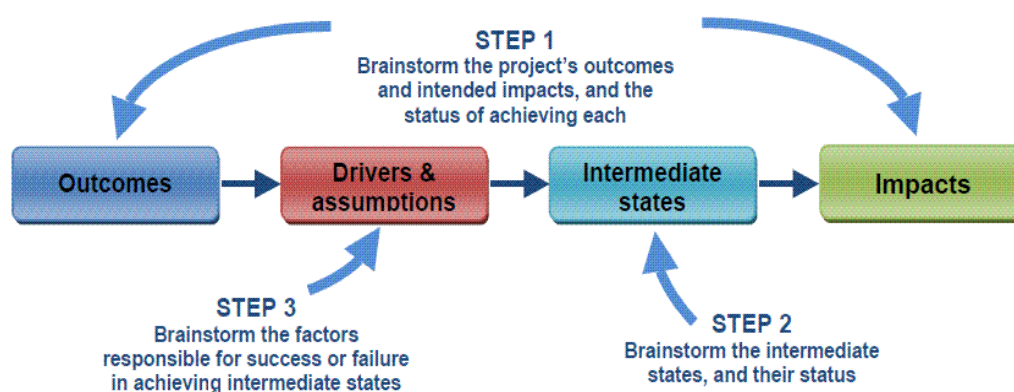


Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)

In practice, there is seldom an opportunity for the evaluator to organise such a group exercise during the inception phase of the evaluation. The reconstruction of the project's Theory of Change can then be done in two stages. The evaluator first does a desk-based identification of the project's impact pathways, specifying the drivers and assumptions, during the inception phase of the evaluation, and then, during the main evaluation phase, (s)he discusses this understanding of the project logic during group discussions or the individual interviews with key project stakeholders.

Once the Theory of Change for the project is reconstructed, the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

²⁶ The GEF frequently uses the term "impact drivers" to indicate drivers needed for outcomes to lead to impact. However, in UNEP it is preferred to use the more general term "drivers" because such external factors might also affect change processes occurring between outputs and outcomes.

The Review of Outcomes towards Impact (ROtI) method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According to the GEF guidance on the method; *“The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.”* For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would be very unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards ‘intermediate states’

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states translate to ratings for the ‘Overall likelihood of impact achievement’ on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project’s lifetime receive a positive impact rating, indicated by a “+”. The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROtI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the ‘results metrics’ for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediate states		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		Rating justification:		Rating justification:		

Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

Outcomes achieved but are dead ends; no forward linkages to intermediate states in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediate states and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediate states is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediate states and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

Intermediate states:

The **intermediate states** indicate achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

“Outcomes” scored C or D. If the outcomes above scored C or D, there is no need to continue forward to score intermediate states given that achievement of such is then not possible.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediate states and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate states and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediate state achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

Barriers and assumptions are successfully addressed. Intermediate state(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

Scaling up and out over time is possible. Measurable intermediate state impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

Impact: Actual changes in environmental status

“Intermediate states” scored B to A.

Measurable impacts achieved at a globally significant level within the project life-span. . (Score = ‘+’)

Annex 9 Stakeholder Analysis for the Evaluation Inception Report (This guidance will be applied in an appropriate manner to UNDP led country components).

The evaluation team should request the project teams to provide a list of key stakeholders, and evidence of stakeholder mapping and analysis. If the project and component focal points are unable to provide this, or if the evaluation team feels the information provided is not complete, the evaluation team should develop the stakeholder map based on evidence provided in the project document (and using methods described in the programme manual or other stakeholder mapping techniques of their choice).

The purpose of stakeholder analysis in the preparation of the evaluation inception report is:

1. To understand which individuals or groups are likely to have been affected by, or to have affected the activities of the project.
2. To ensure that the evaluation methodology includes mechanisms for the participation of key stakeholder groups in the process.
3. To enable the evaluation to identify and make use of key channels of communication between the project and its stakeholders (and between the stakeholders themselves).

In the **review of Project design** the evaluator should assess whether the project addresses the following issues (as specified by UNEP's Quality Assessment Section²⁷):

- Have all **stakeholders**²⁸ who are affected by or who could affect (positively or negatively) the project been identified and explained in the stakeholder analysis?
- Did the main stakeholders participate in the design stages of the project and did their involvement influence the project design?
- Are the economic, social and environmental impacts to the key stakeholders identified, with particular reference to the most **vulnerable groups**²⁹?
- Have the specific roles and responsibilities of the key stakeholders been documented in relation to project delivery and effectiveness?
- For projects operating at country level, are the stakeholder roles country specific? Is there a lead national or regional partner for each country/region involved in the project?

In the **review of project outputs and outcomes**, the evaluation should consider:

Were outputs accessible to all the relevant stakeholder groups?

Have desired outcomes and impacts occurred amongst all stakeholder groups (and if not, consider why this might be).

Have there been any unanticipated outcomes or impacts with particular reference to the most vulnerable groups.

In the **review of factors affecting performance** the evaluation should consider:

- Participation of key stakeholders

²⁷ See The Quality Assessment Section's Matrix for Project Review. Information on stakeholder analysis can also be found in UNEP's programme manual.

²⁸ Stakeholders can be governmental and non-governmental stakeholders, including business and industry. Project beneficiaries are often representatives of Civil Society and within UNEP defined as the belonging to the nine Major Groups as defined in the Agenda 21: Business and Industries, Children & Youth, Farmers, Indigenous People and their communities, Local Authorities, NGO's, the Scientific & Technological Community, Women, Workers and Trade Unions.

²⁹ Vulnerable groups such as: women, children, youth, elderly people, indigenous peoples, local communities, persons with disabilities and below poverty line

- What were the roles and responsibilities of key stakeholders and how did their performance affect the achievement of project outputs and outcomes.

Annex 10: Template for 2 page bulletin summarising project results and key lessons³⁰

The lessons derived from the evaluation of projects comprise one of the most important outcomes of the entire evaluation exercise. Even where high quality lessons are developed, they are seldom communicated effectively to their intended audiences. In order to aid their dissemination and communication to both external and internal audiences, the Evaluation Office has developed a bulletin that presents an abridged version of the key project results and lessons within a 2-page write up. The recommended structure for preparing a summary that will be used for the bulletin is presented below to serve as a guideline:

[Enter Project Title]

Results and Lessons Learned (Sub-title)

About the Project (approx. 150 words)

- Main objective
- Implementation dates
- Lead division and Sub-programme
- Region and Countries
- Budget
- Date of Evaluation
- Add link to project document on our website/repository.

Relevance (approx. 100 words)

- Summarise key project relevance to global/regional/national issues.

Performance (approx. 150 words)

- Summarise project's overall performance in achieving outcomes and progress towards impact (results).

Factors Effecting Performance (approx. 100 words)

- Highlight the key factors (design-related, process-related, external factors, etc.) that affected overall performance.

Key Lessons Learned (approx. 150 words)

- Highlight the most pertinent lessons emerging from the evaluation.

³⁰ This is a standard format, in case of the GSWH project evaluation it will be modified as deemed necessary